

PTO-1449	Application No. 10/767,546		Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0163		Group Art Unit 4132	Filing Date January 29, 2004

**Information Disclosure Citation
In an Application**

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/G.V./	A	3,573,747	04/06/1971	Adams, et al.	340	172.5	02/24/1969
/G.V./	B	3,581,072	05/25/1971	Nymeyer	235	152	03/28/1968
/G.V./	C	2002/0178104 A1	11/28/2002	Hausman	705	37	04/20/2001
/G.V./	D	2002/0198816 A1	12/26/2002	Gilbert, et al.	705	37	10/17/2001
/G.V./	E	2003/0009413 A1	01/09/2003	Furbush, et al.	705	37	07/09/2001
/G.V./	F	2003/0167224 A1	09/04/2003	Periwal	705	37	01/09/2003
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/G.V./	H	2005/0055305 A1	03/10/2005	Lutnick, et al.	705	37	09/10/2004
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U.S. PATENT AND TRADEMARK OFFICE.

PTO-1449

Application No.
10/767,546Applicant(s)
Thomas J. Daley, et al.Information Disclosure Citation
in an ApplicationDocket Number
069547.0163Group Art Unit
3624Filing Date
January 29, 2004

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
G.V./A		2004/0210505 A1	10/21/2004	Pourhamid	705	37	04/17/2003
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
G.V./P		Notification of Transmittal of the International Search Report for Application no. PCT/US05/03166; 4 pages.	11/04/2005
G.V./Q		Written Opinion of the International Searching Authority for Application No. PCT/US05/03166; 5 pages.	11/04/2005
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U.S. PATENT AND TRADEMARK OFFICE

DAL01:880952.1

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
		4,412,287	10/25/1983	Braddock, III	364	408	09/15/1982
/G.V./	B	5,077,665	12/31/1991	Silverman, et al.	364	408	05/25/1989
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	D	H 2064 H	05/06/2003	Buchalter	705	37	11/28/2000
/G.V./	E	2002/0023037 A1	02/21/2002	White, Jr.	705	37	11/05/2001
/G.V./	F	2005/0171890 A1	08/04/2005	Daley, et al.	705	37	01/29/2004
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		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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/G.V./	T	WO 00/11587 A1	03/02/2000	PCT	G06F	17/60	X	
/G.V./	U	WO 01/54037 A1	07/26/2001	PCT	G06F	17/60	X	
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NON-PATENT DOCUMENTS

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./		Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.	02/24/2006
/G.V./		Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.	02/24/2006
/G.V./		How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.	03/2005

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		Docket Number 069547.0163	Group Art Unit 4132	Filing Date January 29, 2004		

U.S. PATENT DOCUMENTS							
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
G.V.	A	5,727,165	03/10/1998	Ordish, et al.	395	237	12/27/1994
G.V.	B	7,110,969 B1	09/19/2006	Bennett, et al.	705	35	07/26/2000
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G.V.	D	2002/0091606 A1	07/11/2002	Shapiro	705	36	01/11/2001
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G.V.	F	2003/0101128 A1	05/29/2003	Abernethy	705	37	11/29/2001
G.V.	G	2006/0015436 A1	01/19/2006	Burns, et al.	705	37	09/30/2004
G.V.	H	2007/0156574 A1	07/05/2007	Marynowski, et al.	705	37	02/12/2007
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
G.V.	P	USPTO Office Action Summary for Application No. 10/767,699; filed January 29, 2004; Attorney Docket No. 069547.0174; 22 pages.	10/26/2007
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DAL01:984583

PTO-1449 Information Disclosure Citation In an Application	Application No. Unknown	Applicant(s) Thomas J. Daley et al.	
	Docket Number 069547.0163	Group Art Unit Unknown	Filing Date January 29, 2004

U.S. PATENT DOCUMENTS

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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./	N	Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings	filing date January 29, 2004
/G.V./	O	Patent Pending Application entitled, "System and Method for Controlling the Disclosure of a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0174, 66 pages including drawings	filing date January 29, 2004
/G.V./	P	Patent Pending Application entitled, "System and Method for Avoiding Transaction Costs Associated with Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0175, 65 pages including drawings	filing date January 29, 2004
/G.V./	Q	Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
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U.S. PATENT AND TRADEMARK OFFICE

DAL01:778309.1

PTO-1449 Information Disclosure Citation In an Application	Application No. 10/767,546		Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0163	Group Art Unit 3694	Filing Date January 29, 2004	

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G.V.	P	European Patent Office Examination Report for Application No. 05 712 564.3 - 1238; 5 pages.	11/14/2007
G.V.	Q	European Patent Office Examination Report for Application No. 05 712 566.8 - 1238; 5 pages.	11/14/2007
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DAL01:987877

PTO-1449		Application No. 10/767,546		Applicant(s) Thomas J. Daley, et al.			
Information Disclosure Citation In an Application		Docket Number 069547.0163		Group Art Unit 3624	Filing Date January 29, 2004		
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G.V.	K	WO 01/77946 A1	10/18/2001	PCT	G06F	17/60	
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DOCUMENT (Including Author, Title, Source, and Pertinent Pages)							DATE
G.V.	P	European Patent Office Communication for Application No 05712564.3 - 1238; 3 pages.					01/08/2007
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G.V.	K	WO 01/75752 A2	10/11/2001	PCT	G06F	17/60		
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G.V.	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03168; 6 pages.</i>	01/29/2007
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G.V.	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.</i>	01/04/2007
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G.V.	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.</i>	12/13/2006
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/G.V./	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
/G.V./	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
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/G.V./	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
/G.V./	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
/G.V./	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
/G.V./	N	WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
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/G.V./	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
/G.V./	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
/G.V./	R	<i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
/G.V./	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

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G.V.	C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
G.V.	D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
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G.V.	N	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.					04/20/2007
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